

FORM PTO-1390
(REV. 11-2000)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

8224

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371

U.S. APPLICATION NO. (If known, see 37 CFR 1.5

09/806743

INTERNATIONAL APPLICATION NO.
PCT/US99/22995INTERNATIONAL FILING DATE
01 October 1999 (01.10.99)PRIORITY DATE CLAIMED
02 OCT 1998

TITLE OF INVENTION

DATA MINING ASSISTS IN A RELATIONAL DATABASE MANAGEMENT SYSTEM

APPLICANT(S) FOR DO/EO/US Timothy Edward Miller, Brian Don Tate, Miriam H. Herman,
Todd Michael Brye, and Anthony Lowell Rollins

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ has been communicated by the International Bureau.
 - c. ☒ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
14. ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

U.S. APPLICATION NO. 09/806743 INTERNATIONAL APPLICATION NO. PCT/US99/22995

ATTORNEY'S DOCKET NUMBER
822421. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):**Neither international preliminary examination fee (37 CFR 1.482)
nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO
and International Search Report not prepared by the EPO or JPO \$1000.00International preliminary examination fee (37 CFR 1.482) not paid to
USPTO but International Search Report prepared by the EPO or JPO \$860.00International preliminary examination fee (37 CFR 1.482) not paid to USPTO
but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$710.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$690.00International preliminary examination fee (37 CFR 1.482) paid to USPTO
and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00**ENTER APPROPRIATE BASIC FEE AMOUNT =****CALCULATIONS PTO USE ONLY**

\$ 690.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(e)).

| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE |
|--------------|--------------|--------------|-----------|
| Total claims | 22 - 20 = | 2 | x \$18.00 |

| | | | |
|--------------------|---------|--|-----------|
| Independent claims | 3 - 3 = | | x \$80.00 |
|--------------------|---------|--|-----------|

| | | | |
|---|--|--|------------|
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$270.00 |
|---|--|--|------------|

TOTAL OF ABOVE CALCULATIONS =☐ Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above
are reduced by 1/2.**SUBTOTAL =**Processing fee of \$130.00 for furnishing the English translation later than ☐ 20 ☐ 30
months from the earliest claimed priority date (37 CFR 1.492(f)).**TOTAL NATIONAL FEE =**Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +**TOTAL FEES ENCLOSED =**Amount to be
refunded:

charged:

- a. ☐ A check in the amount of \$ _____ to cover the above fees is enclosed.
- b. ☒ Please charge ~~NY~~ Deposit Account No. 50-1673 in the amount of \$ 726.00 to cover the above fees.
A duplicate copy of this sheet is enclosed. This is the Deposit Account of NCR Corporation
(the Assignee of the present application).
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any
overpayment to Deposit Account No. 50-1673. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card
information should not be included on this form. Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR
1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

James M. Stover
NCR Corporation
101 W. Schantz Avenue, ECD-2
Dayton, Ohio 45479

SIGNATURE

George H. Gates

NAME

33,500

REGISTRATION NUMBER

09/806743

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

JC08 Rec'd PCT/PTO 02 APR 2001

Applicant(s): Timothy Edward Miller, Brian Don Tate, Miriam H. Herman, Todd Michael Brye, and Anthony Lowell Rollins

Docket: 8224

Title: DATA MINING ASSISTS IN A RELATIONAL DATABASE MANAGEMENT SYSTEM

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

'Express Mail' mailing label number: EL816010206US

Date of Deposit: April 2, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Washington, D.C. 20231.

By:

Name: Darlene Ross

BOX PCT
Commissioner for Patents
Washington, D.C. 20231

Sir:

We are transmitting herewith the attached:

- ☒ Transmittal sheet, in duplicate, containing Certificate Of Mailing Under 37 CFR 1.10.
- ☒ Form PTO-1390: TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371.
- The fee has been calculated as shown below in the "Claims as Filed" table.
- ☒ A Preliminary Amendment - 6 pg(s).
- ☒ A signed Declaration and Power of Attorney
- ☒ A charge to Deposit Account in the amount of \$726.00 to cover the Filing Fee
- ☒ Return postcard

CLAIMS AS FILED

| Number of Claims Filed | In Excess of: | Number Extra | Rate | Fee |
|------------------------------|---------------|--------------|-----------|-----------|
| Basic Filing Fee | | | | \$690.00 |
| Total Claims | | | | |
| 22 | 20 | 2 | x \$18.00 | = \$36.00 |
| Independent Claims | | | | |
| 3 | 3 | 0 | x \$80.00 | = \$0.00 |
| MULTIPLE DEPENDENT CLAIM FEE | | | | \$0.00 |
| TOTAL FILING FEE | | | | \$726.00 |

Please charge all fees to Deposit Account No. 50-1673 of NCR Corporation (the assignee of the present application).
A duplicate of this sheet is enclosed.

GATES & COOPER LLP
Howard Hughes Center
6701 Center Drive West, Suite 1050
Los Angeles, CA 90045
(310) 641-8797

By:

Name: George H. Gates

Reg. No.: 33,500

Initials: GHG/dr